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FEC FORM 3X

REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee Office Use Only 1. NAME OF **USE FEC MAILING LABEL** Example: If typing, type COMMITTEE (in full) OR TYPE OR PRINT over the lines Securities Industry and Financial Markets Association Political Action Committee 1101 New York Avenue, NW ADDRESS (number and street) 8th Floor Check if different than previously Washington DC 20005 reported. (ACC) FEC IDENTIFICATION NUMBER **STATE** ZIPCODE 🛋 CITY A IS THIS NEW **AMENDED** C00431312 Χ REPORT OR (N) (A) **TYPE OF REPORT** (b) Monthly Nov 20 (M11) Feb 20 (M2) May 20 (M5) Aug 20 (M8) (Non-Election Year Only) Report (Choose One) Due On: Dec 20 (M12) (Non-Election Year Only) Mar 20 (M3) Jun 20 (M6) Sep 20 (M9) (a) Quarterly Reports: Apr 20 (M4) Jul 20 (M7) Oct 20 (M10) Jan 31 (YE) April 15 Quarterly Report(Q1) (c) 12-Day Primary (12P) General (12G) Runoff (12R) July 15 PRE-Election Quarterly Report(Q2) Report for the: Convention (12C) Special (12G) October 15 Quarterly Report(Q3) January 31 Quarterly Report(YE) in the Election on State of July 31 Mid-Year (d) 30-Day Report(Non-election Year Only) (MY) Runoff (30R) Post -Election General (30G) Special (30S) Report for the: Termination Report (TER) in the Election on State of 0 1 0 1 2008 0 1 3 1 2008 through Covering Period I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete. Richard J. Hunt Type or Print Name of Treasurer Electronically Filed by Richard J. Hunt 02 20 2008 Signature of Treasurer Date NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C 437g. Office **FEC FORM 3X** Use (Rev. 12/2004) Only

FE6AN026

SUMMARY PAGE OF RECEIPTS AND DISRURSEMENTS

Page 2

FEC Form 3X (Rev. 02/2003)

OF RECEIPTS AND DISBURSEMENTS

Write or Type Committee Name Securities Industry and Financial Markets Association Political Action Committee [®] D " D 0 1 0 1 2008 0 1 3 1 2008 Report Covering the Period: From: To: **COLUMN A COLUMN B This Period** Calendar Year-to-Date (a) Cash on Hand 2008 208009.19 January 1 (b) Cash on Hand at 208009.19 Begining of Reporting Period 12250.00 12250.00 (c) Total Receipts (from Line 19) (d) Subtotal (add lines 6(b) and 6(c) for Column A and Lines 220259.19 220259.19 6(a) and 6(c) for Column B) 35696.51 35696.51 7. Total Disbursements (from Line 31) Cash on Hand at Close of Reporting Period 184562.68 184562.68 (subtract Line 7 from Line 6(d)) 9. Debts and Obligations owed the committee (Itemize all on 0.00 Schedule C and/or Schedule D) 10. Debts and Obligations owed the committee (Itemize all on 0.00 Schedule C and/or Schedule D) This Committee has qualified as a multicandidate committee. (see FEC FORM 1M)

For further information contact:

Federal Election Commission 999 E street, NW Washington, DC 20463

> Toll Free 800-424-9530 Local 202-694-1100

DETAILED SUMMARY PAGE OF RECEIPTS

FEC Form 3X (Rev. 06/2004) Page 3

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

0 1 м N 0 1 м м 0 1 3^D1 2008 2008 Report Covering the Period: From: To: **COLUMN A COLUMN B** I. Receipts **Total This Period** Calendar Year-to-Date 11. Contributions (other than loans) From: (a) Individuals/Persons Other Than Political Committees 12250.00 12250.00 (i) Itemized (use Schedule A) 0.00 0.00 (ii) Unitemized (iii) TOTAL (add 12250.00 12250.00 Lines 11(a)(i) and (ii) 0.00 0.00 (b) Political Party Committees Other Political Committees 0.00 0.00 (such as PACs) Total Contributions (add Lines 11(a)(iii),(b) and (c)) (Carry 12250.00 12250.00 Totals to Line 33, page 5) 12. Transfers From Affiliated/Other 0.00 0.00 Party Committees 0.00 0.00 13. All Loans Received 0.00 0.00 14. Loan Repayments Received 15. Offsets To Operating Expenditures (Refunds, Rebates, etc.) 0.00 0.00 (Carry Totals to Line 37, page 5) 16. Refunds of Contributions Made to Federal candidates and Other 0.00 0.00 Political Committees 17. Other Federal Receipts 0.00 0.00 (Dividends, Interest, etc.) 18. Transfers from Non-Federal and Levin Funds (a) Non-Federal Account 0.00 0.00 (from Schedule H3) 0.00 0.00 (b) Levin Funds (from Schedule H5) 0.00 0.00 (c) Total Transfer (add 18(a) and 18(b)). 19. Total Receipts (add Lines 11(d), 12250.00

12250.00

12250.00

12250.00

20. Total Federal Receipts

12, 13, 14, 15, 16, 17, and 18(c))

(subtract Line 18(c) from Line 19)

DETAILED SUMMARY PAGE

of Disbursements

FEC Form 3X (Rev. 02/2003) Page 4

II. DISBURSEMENTS	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
Operating Expenditures: (a) Shared Federal/Non-Federal		
Activity (from Schedule H4) (i) Federal Share	0.00	0.00
(ii) Non-Federal Share	0.00	0.00
(b) Other Federal Operating Expenditures	196.51	196.51
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii) and (b))	196.51	196.51
Transfers to Affiliated/Other Party Committees	0.00	0.00
Contributions to Federal Candidates/Committees and Other Political Committees	35500.00	35500.00
Independent Expenditure (use Schedule E)	0.00	0.00
5. Coordinated Expenditures Made by Party Committees (2 U.S.C. 441a(d)) (use Schedule F)	0.00	0.00
6. Loan Repayments Made	0.00	0.00
7. Loans Made	0.00	0.00
Refunds of Contributions To: (a) Individuals/Persons Other Than Political Committees	0.00	0.00
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs)	0.00	0.00
(d) Total Contribution Refunds (add Lines 28(a), (b), and (c))	0.00	0.00
9. Other Disbursements	0.00	0.00
Federal Election Activity (2 U.S.C 431(20)) (a) Shared Federal Election Activity		
(from Schedule H6) (i) Federal Share	0.00	0.00
(ii) "Levin" Share	0.00	0.00
(b) Federal Election Activity Paid Entirely With Federal Funds	0.00	0.00
(c) Total Federal Election Activity (add Lines 30(a)(i), 30(a)(ii) and 30(b))	0.00	0.00
1. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), 29 and 30(c))	35696.51	35696.51
 Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31) 	35696.51	35696.51

DETAILED SUMMARY PAGE

of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 5

	III. Net Contributions/Operating Expenditures				
33.	Total Contributions (other than loans) from Line 11(d), page 3)	12250.00	12250.00		
34.	Total Contribution Refunds (from Line 28(d))	0.00	0.00		
35.	Net Contributions (other than loans) (subtract Line 34 from Line 33)	12250.00	12250.00		
36.	Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b))	196.51	196.51		
37.	Offsets to Operating Expenditures (from Line 15, page 3)	0.00	0.00		
38.	Net Operating Expenditures (subtract Line 37 from Line 36)	196.51	196.51		

FE6AN026

SCHEDULE A (FEC Form 3X)

ITEMIZED R		tatamente ma	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 6 / 11 (check only one) X 11a 11b 11c 12 13 14 15 16 11
or for commercial p	urposes, other than using the MITTEE (In Full)	name and add	tion Political Action Commit	on for the purpose of soliciting contributions o solicit contributions from such committee.
	First, Middle Initial)			Date of Receipt
	P.O. Box 85678			M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
City Richmond		State VA	Zip Code 23285-5678	Transaction ID: 14867091 Amount of Each Receipt this Period
FEC ID number federal political of		C		500.00
Name of Employ Davenport & Co	er mpany LLC	Occupation Presiden		
Primary Other (spe	General cify) ▼	Aggregate	500.00	Contributions
Mr. Richard F. Br	First, Middle Initial) ueckner P.O. Box 1015			Date of Receipt 0 1 1 7 2 0 0 8
City		State	Zip Code	Transaction ID: 14926634
Bedminster FEC ID number federal political of		NJ C	07921-1015	Amount of Each Receipt this Period 5000.00
Name of Employ Pershing LLC	rer	Occupation	n	
Receipt For: Primary Other (spe	General cify) ▼	Aggregate	e Year-to-Date ▼ 5000.00	Contribution
Full Name (Last Mrs. Shahira Knig Mailing Address		nue		Date of Receipt
City		State	Zip Code	0 1 1 1 2 0 0 8 Transaction ID: 14926981
Falls Church		VA	22046-3241	Amount of Each Receipt this Period
FEC ID number federal political of		C		2500.00
Name of Employ Securities Indus Financial Mark Receipt For:			n g Director e Year-to-Date ▼	
Primary Other (spe	☐ General ecify) ▼	0 0	2500.00	Contribution
SUBTOTAL of Re	ceipts This Page (optional)			8000.00

SCHEDULE A (FEC Form 3X)

	ULE A (FEC Form 3X) ED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 7 / 11 (check only one) X
or for comm	tion copied from such Reports and S ercial purposes, other than using the F COMMITTEE (In Full)	tatements may name and add	y not be sold or used by any perso dress of any political committee to	on for the purpose of soliciting contributions o solicit contributions from such committee.
1 \	es Industry and Financial Mark	ets Associa	tion Political Action Committ	tee
Mr. Tim T				Date of Receipt
	ddress 6420 Indian Hills Road		7's Oads	01 28 2008
City Edina		State MN	Zip Code 55439-1134	Transaction ID: 14952334 Amount of Each Receipt this Period
FEC ID r	number of contributing olitical committee.	C		1000.00
Name of Wells Fa	Employer argo Investments,	Occupatio Executive		
	For: mary General ner (specify) ▼	Aggregate	e Year-to-Date ▼ 1000.00	Contribution
	e (Last, First, Middle Initial) II A Labrasca, Jr			Date of Receipt
Mailing A	address 5725 Cavender Drive			01 28 2008
City		State	Zip Code	Transaction ID: 14952336
	number of contributing olitical committee.	C	75093-5966	Amount of Each Receipt this Period 1000.00
Name of Wells Fa LLC	Employer argo Investments,	Occupatio Executive		
Receipt F	For: mary General ner (specify) ▼	Aggregate	e Year-to-Date ▼ 1000.00	Contribution
Full Nam Mr. Jame	e (Last, First, Middle Initial) s Cimino			Date of Receipt
Mailing A	ddress P.O. Box 1586			01 28 2008
City	0. 4. 5.	State	Zip Code	Transaction ID: 14952337
FEC ID r	Santa Fe number of contributing olitical committee.	CA	92067-1586	Amount of Each Receipt this Period 1000.00
Name of Wells Fa LLC	Employer argo Investments,	Occupatio EVP	n	
Receipt F	For: mary General ner (specify) ▼	Aggregate	e Year-to-Date ▼ 1000.00	Contribution
SUBTOTA	L of Receipts This Page (optional)			3000.00

	SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS		Use separate so for each categor Detailed Summa	ry of the (FOR LINE NUMBER: PAGE 8 / 11 (check only one) X 11a 11b 11c 12 15 16 17							
	Any information copied from such Reports and S or for commercial purposes, other than using the	tatements ma name and ad	y not be sold or use dress of any politica	d by any person I committee to s	for the purpose of soliciting contributions olicit contributions from such committee.							
	NAME OF COMMITTEE (In Full) Securities Industry and Financial Mark	ets Associa	tion Political Acti	on Committe	е							
Α.	Full Name (Last, First, Middle Initial) Mr. Charles W. Daggs, III				Date of Receipt							
	Mailing Address 1194 Estates Drive				01 18 2008							
	City	State	Zip Code		Transaction ID: 14952341							
	Lafayette	CA	94549-2749		Amount of Each Receipt this Period							
	FEC ID number of contributing federal political committee.	C			1000.00							
	Name of Employer Wells Fargo Investments, LLC	Occupatio CEO	n									
	Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼	1000.00	Contribution							
В.	Full Name (Last, First, Middle Initial) Mrs. Janet M. Pike				Date of Receipt							
	Mailing Address 9702 Chilcott Manor W	/ay			01 30 2008							
	City	State	Zip Code		Transaction ID: 14994871							
	Vienna	VA	22181-5400		Amount of Each Receipt this Period							
	FEC ID number of contributing federal political committee.	C			250.00							
	Name of Employer Securities Industry and Financial Mark	Occupatio Executive	n e Assistant									
	Receipt For: Primary General Other (specify)	Aggregate	e Year-to-Date ▼	250.00	Contribution							

SUBTOTAL of Receipts This Page (optional)	•	1250.00
TOTAL This Period (last page this line number only)		12250.00

Other (specify)

A.

В.

C.

SCHEDULE B (FEC Form 3X)	Use separate schedule(s)	FOR LINE		PAGE 9/11
ITEMIZED DISBURSEMENTS	for each category of the Detailed Summary Page	(check only 21b 27	one) 22 X 23 28a 28b	24 25 26 28c 29 30b
Any Information copied from such Reports and Statem or for commercial purposes, other than using the name			or the purpose of solic	iting contributions
NAME OF COMMITTEE (In Full)	and address of any pointed cor	Tillitities to 30ii	Cit Continbutions from	3don committee
Securities Industry and Financial Markets A	Association Political Action	Committee		
Full Name (Last, First, Middle Initial) CHRIS PAC			Transaction ID: 14 Date of Disburseme	
Mailing Address 607 14th Street, NW Suite 800			01 / 11	2008
,	State Zip Code DC 20005		Amount of Each Di	sbursement this Period
Purpose of Disbursement Contribution		011		5000.00
Candidate Name		Category/ Type		
Senate President	ment For: Primary General Other (specify) ▼		Contribution	
State: District: Full Name (Last, First, Middle Initial) SnowPAC			Transaction ID: 14	
Mailing Address 56 Exchange Place			M M / D D D D D D D D D D D D D D D D D	
City	State Zip Code		Amount of Each Di	sbursement this Period
Salt Lake City Purpose of Disbursement	84111			3000.00
Contribution Candidate Name	C	011 Category/ Type		
Office Sought: Senate President State: Disburse	ment For: Primary General Other (specify)		Contribution	
Full Name (Last, First, Middle Initial) Democratic Congressional Campaign Com	mit		Transaction ID: 14	
Mailing Address 430 South Capitol Street,	SE		01 / 14	2008
•	State Zip Code DC 20003		Amount of Each Di	sbursement this Period
Purpose of Disbursement Contribution Candidate Name		011		5000.00
	ment For:	Category/ Type		
Office Sought: House Disburse Senate President State: District:	Primary General Other (specify)		Contribution	
SUBTOTAL of Disbursements This Page (optional) .				13000.00
TOTAL This Period (last page this line number only)				

Any Info	formation copies commercial pur ME OF COMMecurities Indu II Name (Last, lemocratic Semocratic Semoc	poses, other than using MITTEE (In Full) stry and Financial M First, Middle Initial) natorial Campaign C 120 Maryland Ave	d Statements the name and arkets Asso	may no addres	ss of any political	committee to se	22 X 23 24 25 29 28a 28b 28c 29 for the purpose of soliciting contributions olicit contributions from such committee Transaction ID: 14927013 Date of Disbursement M M M D D D D Y Y Y Y O O 8
Full Der Mai	commercial pur ME OF COMM ccurities Indu II Name (Last, lemocratic Se ailing Address y ashington rpose of Disbu ntribution ndidate Name	poses, other than using MITTEE (In Full) stry and Financial M First, Middle Initial) natorial Campaign C 120 Maryland Ave	arkets Asso committee enue, NE State	addre	ss of any political	committee to se	Transaction ID: 14927013 Date of Disbursement
Full Der Mai	ME OF COMM ccurities Indu II Name (Last, lemocratic Se ailing Address y ashington rpose of Disbu ntribution ndidate Name	MITTEE (In Full) stry and Financial M First, Middle Initial) natorial Campaign C 120 Maryland Ave	arkets Asso committee enue, NE State	ciatio	n Political Acti		Transaction ID: 14927013 Date of Disbursement
Mai City Wa Pur Cor Car	emocratic Se uiling Address y ashington rpose of Disbu ntribution ndidate Name	natorial Campaign C	enue, NE State		Zip Code		Date of Disbursement
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Wa Pur Cor Car	ashington rpose of Disbu ntribution ndidate Name	rsement			Zip Code		T.
Cor Car	ntribution ndidate Name	rsement			20002		Amount of Each Disbursement this Period
						011	5000.00
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	fice Sought:	Senate President	Disbursement Prim Othe	nary	General ▼		Contribution
Stat		District: First, Middle Initial)					Tuesday ID 44007000
	eedom Proje	. ,					Transaction ID: 14927020 Date of Disbursement
Mai	iling Address	111 C Street, NE					$\begin{bmatrix} M & M & / & D & D & A \\ 0 & 1 & M & / & D & A & A \end{bmatrix} \begin{bmatrix} Y & Y & Y & Y & Y & Y & Y & Y & Y & Y$
City Wa	y ashington		State DC		Zip Code 20003		Amount of Each Disbursement this Period
Cor	rpose of Disbu ntribution ndidate Name	rsement				011 Category/	5000.00
Offi	fice Sought:	House Senate President	Disbursement Prin	nary	General ecify) ▼	Туре	Contribution
Stat	ate:	District:		ei (spe	∀		
	ll Name (Last, l eedom Fund	First, Middle Initial)					Transaction ID: 14927012 Date of Disbursement
Mai	iling Address	1155 21st Street, Suite 300	NW				01 M / D D D Y Y Y O O 8
	ashington		State DC		Zip Code 20036		Amount of Each Disbursement this Period
Cor	rpose of Disbu	rsement				011	5000.00
	ndidate Name					Category/ Type	
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Stat	ate:	District:			· - <i>J</i> / V		

SCHEDULE B (FEC Form 3X)	Use sepa	arate schedule(s)				NUMBE	R:		Р	AGE	11 / 1	11
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Securities Industry and Financial Markets	Associatio	on Political Acti	on (Com	nmittee)						
Full Name (Last, First, Middle Initial) Maloney for Congress						Date	of Dis	sburse	14927 ement			
Mailing Address 24 East 93rd Street						0 1	M /	1	^D 4	ž	0 Ď 8	; ^Y
City New York	State NY	Zip Code 10128				Amou	int of	Each	Disburs			-
Purpose of Disbursement Contribution			Г	011		L.	_			2	500.0	0
Candidate Name Rep. Carolyn B. Maloney			С	ateg								
Office Sought: X House Senate President State: NY District: 14	ement For: Primary Other (spe	2008 X General ecify) V				Contr	ibuti	on				
Full Name (Last, First, Middle Initial)						Trans	actio	on ID:	14927	019		
Republican Majority Fund							of Dis		ement	V * V	V	V
Mailing Address P.O. Box 144						o [™] 1	М /	^D 1	4 /	ž	0 Ď 8	<u>, </u>
City Alexandria	State VA	Zip Code 22313				Amou	int of	Each	Disburs	emen	t this F	erio
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Full Name (Last, First, Middle Initial) Perlmutter For Congress						Date	of Dis	sburse	14927 ement	017		
Mailing Address 3440 Youngfield St #264	1					0 1	M /	1	^D 4	Ý Ž	0 Ď 8	}
City Wheat Ridge	State CO	Zip Code 80033				Amou	int of	Each	Disburs	emen	t this F	eric
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Candidate Name Rep. Edwin Perlmutter			С	ateg	ory/							
-	ement For: Primary Other (spe	2008 General				Contr	ibuti	on				
State: CO District: 07												
SUBTOTAL of Disbursements This Page (optional)					<u> </u>					75	0.00	0
TOTAL This Period (last page this line number only							-		•	255	0.00	^